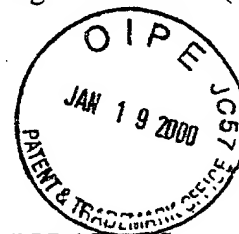


**REC'D IN THE U.S. PATENT AND TRADEMARK OFFICE**

Applicant(s): Yasmin Thanavala et al.  
Serial No.: 09/420,695  
Filed: October 19, 1999

- (1) Statement in Compliance with 37 CFR 1.63 submitting Declarations (2) attached to copy of specifications;
- (1) Claim for Small Entity Status;
- (3) Verified Statements Claiming Small Entity Status;
- (1) Check in the amount of \$65.00;
- (1) Transmittal Letter (in duplicate); and
- (1) Postcard for acknowledgment.



Our Ref: RPP:156AUS

**DUNN AND ASSOCIATES**

P. O. BOX 96  
NEWFANE, NY 14108

3737

10-2/220

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DATE Jan. 12, 2000

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FOR 09/420,695 RPP:156aUS Thanavala et al.

**REC'D IN THE U.S. PATENT AND TRADEMARK OFFICE**

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Our Ref: RPP:156AUS

**FILING RECEIPT**

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/420,695	10/19/99	1651	\$380.00	RPP:156A-US	0	20	3

DUNN & ASSOCIATES  
P O BOX 96  
NEWFANE NY 14108

NOV 1 8

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) YASMIN THANAVALA, WILLIAMSVILLE, NY; CHARLES JOEL  
ARNTZEN, ITHACA, NY.

CONTINUING DATA AS CLAIMED BY APPLICANT-  
THIS APPLN IS A CIP of 09/418,177 10/13/99

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/09/99 \*\* SMALL ENTITY \*\*  
TITLE  
ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE  
ANTIGEN

PRELIMINARY CLASS: 424

DATA ENTRY BY: MIDDLETON, MATTIE      TEAM: 04   DATE: 11/09/99

\*\*\*\*\*

1900

RPP:156A US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Yasmin Thanavala et al.

Art Unit: 1651

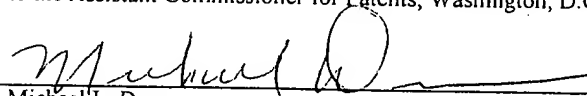
Serial No: 09/420,695

Filed: October 19, 1999

Examiner: Unknown

For: ORAL IMMUNOLOGY  
USING PLANT PRODUCT  
CONTAINING HEPATITIS  
SURFACE ANTIGEN

I certify that this STATEMENT is being deposited on January  
12, 2000 with the U.S. Postal Service as first class mail addressed  
to the Assistant Commissioner for Patents, Washington, D.C. 20231

  
Michael L. Dunn

Registration No. 25,330

STATEMENT IN COMPLIANCE WITH 37 CFR 1.63

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application mailed November 12, 1999 (copy attached), this is to certify that the specification attached to the enclosed Declaration is a copy of the same specification filed in the Office on October 19, 1999, in order to obtain a filing date.

The \$65.00 surcharge is enclosed for late filing of the Declaration.

This Statement is being made in conformity with the Commissioner's Notice published in 1035 TMOG 2 (October 4, 1983).

Dated: January 12, 2000

Respectfully submitted,



Michael L. Dunn

Attorney for Applicant(s)

Reg. No. 25,330

P.O. Box 96

Newfane, New York 14108

Telephone: (716) 433-1661

MLD/tsm

<b>TRANSMITTAL LETTER</b>			Attorney Docket No: RPP:156A US	
Applicant(s): Yasmin Thanavala et al.				
Serial No: 09/420,695	Filing Date: October 19, 1999	Examiner: Unknown	Art Unit: 1651	
Invention: ORAL IMMUNOLOGY USING PLANT PRODUCT CONTAINING HEPATITIS SURFACE ANTIGEN				

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:

Transmitted herewith is:

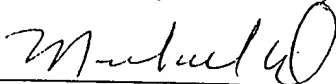
- ☒ Statement in Compliance with 37 CFR 1.63 submitting two (2) Declarations attached to copies of specification with \$65.00 surcharge.
- ☒ Claim for Small Entity Status CFR 1.9 (f) and 1.27 (b) and (d).

IN THE ABOVE IDENTIFIED APPLICATION.

- ☐ No additional fee is required.
- ☒ A check in the amount of \$ 65.00 is attached to cover above fees.
- ☐ Charge \$ \_\_\_\_\_ to Deposit Account No. \_\_\_\_\_  
A duplicate copy of this sheet is enclosed.
- ☒ Please charge any additional fees which may be due with respect to the accompanying papers, including those which may be due under 37 C.F.R. 1.16, 1.17, 1.18 and 1.20, or credit any overpayment to Deposit Account No. 04-1790 .  
A duplicate copy of this sheet is enclosed.

Dated: January 12, 2000

Respectfully submitted,



Michael L. Dunn  
For Applicant(s)  
Registration No. 25,330  
P.O. Box 96  
Newfane, New York 14108  
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MLD/tsm